

ARCHIVAL AND RECORDS MANAGEMENT SERVICES DIVISION (Form RM-July 2008)

RECORDS RETENTION AND DISPOSITION SCHEDULE SPECIFIC SCHEDULE NO. 501-011 DEPARTMENT OF TRANSPORTATION MATERIALS

The schedule on the attached page(s) is approved with agreement to follow	ow the records retention and disposition	n policies listed below:
AGENCY APPROVAL	STATE AP	PROVAL
AGENCY HEAD OR DEPUTY Dave 3 5. Elem	_ STATE RECORDS ADMINISTRATOR _	Conlyx Edward
AGENCY RECORDS OFFICER John Breedy CRM	COMPTROLLER OR DEPUTY	<u> </u>
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POLICIES FOR RECORDS RETENTION AND DISPOSITION

- This schedule is continuing authority under the provisions of the Virginia Public Records Act, §§ 42.1-76, et seq. of the Code of Virginia for the retention and disposition of the records as stated on the attached page(s).
- 2. This schedule supersedes previously approved applicable schedules.
- This schedule is used in conjunction with the Certificate of Records
 Disposal (Form RM-3). A signed RM-3 must be approved by the designated
 records officer and on file in the agency or locality before records can be
 destroyed. After the records are destroyed, the original signed RM-3 must
 be sent to Library of Virginia (LVA).
- 4. Any records created prior to 1913 must be offered, in writing, to the LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from the LVA. A copy of the offer must be attached to the RM-3 form when it is submitted to the LVA.
- All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
- All known investigations or court cases involving the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations or litigation that reasonably may involve the listed records suspends any disposal or reformatting processes until all issues are resolved.

- 7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. Microfilming must be done in accordance with §§ 17VAC15-20-10, et seq. of the *Virginia Administrative Code*, "Standards for the Microfilming of Public Records for Archival Retention." All records must be accessible throughout their retention period in analog or digital format. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting or migration, it is the obligation of the agency or locality to do so.
- 8. Custodians of records must insure that information in confidential or privacy protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Normally, destruction of confidential or privacy-protected records will be done by shredding or pulping. "Deletion" of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Electronic records must be "wiped" clean or the storage media physically destroyed.
- Under the Virginia Public Records Act, (§ 42.1-79) the Library of Virginia is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. The Library may purge select records in accordance with professional archival practices in order to ensure efficient access.
- Unless otherwise directed, files are closed out at the end of each calendar
 or fiscal year as appropriate. Retention periods start at that time.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Equipment: Inventory This series is comprised of documents and an Access Database describing the purchase and location of Materials Division-Central Office equipment, e.g. nuclear gauges, soil sampling equipment, materials testing equipment, general office equipment, etc. It is used to track and monitor equipment and as a reference during internal audits which require verification of the inventory items location.	000032	Retain for three (3) years after disposal of equipment or until agency audit then destroy.
Committee Records: American Association of State Highway and Transportation Officials (AASHTO) Subcommittee on Materials Equipment – Inventory This series documents the participation of the Division Administrator or delegate in the AASHTO standing subcommittee on Materials. The file includes specification changes, ballots, and meeting minutes. The Division uses it when providing input to the subcommittee.	002836	Retain for three (3) years, and then destroy.
Budget: Annual Working Papers This series is comprised of electronic documents including text and spreadsheets that detail the annual budget request and approved budget for the Division. It is retained as a reference to for annual budget development.	002837	Retain for three (3) years after the biennium to which the records relate, then destroy.
Contracts This series is comprised of contract Materials Division's contracts. Copies are retained for reference purposes in development of contracts and outstanding invoices.	002841	Retain in accordance with the terms of the contract or five (5) years after completion or termination of the contract, then destroy.
Consultants: Final Estimate This series documents the project final estimate for construction projects described and authorized on VDOT Form C-5. The form provides the date projects are finally closed after all monies have been paid and received.	002850	Retain for five (5) years after project is completed, then destroy.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Consultants: Final Estimate This series documents the project final estimate for construction projects described and authorized on VDOT Form C-5. The form provides the date projects are finally closed after all monies have been paid and received.	002850	Retain for five (5) years after project is completed, then destroy.
Inspection Reports: Approved Plans This series is comprised of documents describing the inspection and final approval of a contractor's plant laboratory by the Division. It is used to create a current list of approved plant laboratories and supervisors. The documents are retained as a reference to determine it there has been change in the plant laboratory supervisor.	002853	Retain three (3) years after approval, and then destroy.
Calibration: Laboratory Equipment This series documents the calibration of laboratory testing equipment. It includes information on the methods and results of each test. It is used to show compliance with the American Association of State Highway and Transportation Officials (AASHTO), Materials Reference Laboratory (AMRL) requirements. It is retained as a reference for the repair or replacement of equipment.	002854	Retain for the life of the equipment, then destroy.
Materials Test Reports Documents testing of materials samples and products used for highway construction and maintenance. It is used to conduct investigations of problems with materials or products supplied by contractors and is retained as a reference to determine the validity of tests when VDOT and contractor results conflict.	002857	Retain five (5) years after report date, then destroy.
Consultants: Sampling/Testing Reports This series documents sampling and testing conducted by consultants. It includes sampling from out of state producer plants.	002859	Retain for five (5) years from report date, and delete record.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Laboratory Material Sample Test Database This series consists of records in a database that document each material sample received for testing. It is used to track and monitor the receipt and testing of material samples before the test report is issued.	002865	Retain permanently in VDOT on the server.
Notice of Material Sample Shipment This series documents the shipment and receipt of material samples sent to the VDOT laboratories for testing. It is used to transfer information to the laboratory notebook(s)). It is retained as a reference for information not included in test reports and to locate missing or misfiled test information.	002866	Retain for three (3) years after creation, and then destroy.
Procurement: Equipment Maintenance This series documents the procurement of contracts for the service or repair of equipment. It is used to track and monitor the work being performed to ensure that it conforms to the contract and to request warranty. It may also be used as a model to write new contracts.	002869	Retain for the life of the equipment, and then destroy.
Inspection Reports: Fire Protection Equipment This series documents the inspection and testing of fire protection equipment, including fire extinguishers, emergency lights, smoke detectors, and alarm systems. It is retained as a reference for county or state fire marshal inspections.	002871	Retain for the life of the equipment, then destroy.
Accreditation This series is comprised of records pertaining to testing, equipment calibration and verification, test reports, internal quality system reviews documentation, management reviews, personnel, proficiency sample testing, test technical evaluation and certification of materials laboratories.	002875	Retain for three (3) years from document date, then destroy by shredding.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Certification: Cement/Flyash This series documents the annual cement and flyash certification from each producer meeting the requirements of the American Society for Testing and Materials (ASTM), American Association of State Highway and Transportation Officials (AASHTO), and VDOT. The certification is the result of testing samples and verifying compliance with the producers specifications.	002876	Retain for five (5) years after issuance of certification, then destroy.
Inspection Reports: Cement Producers This series is comprised of documents describing site inspections conducted by the Cement and Concrete Reference Laboratory (CCRL) of cement producers' laboratories to certify that VDOT specifications are met.	002878	Retain inspection report for five (5) years after inspection, and then destroy.
Inspection Reports: Bonded Weigh Program This series is comprised of documents that describe the periodic inspection of each quarry and asphalt plant's bonded weight program. It ensures that the agency receives the appropriate amount of aggregate for which it paid. Previous reports are used as a reference when conducting inspections. The document references ensure compliance and that the Agency is monitoring the facilities.	002900	Retain one (1) year, after inspection, and then destroy.
Testing: Fiber Mulch This series documents the semi-annual testing of fiber mulch. It ensures the suppliers' materials meet or exceed Agency Requirements. The information is used in compiling a list of recommended suppliers.	002904	Retain for five (5) years after the last vendor activity, then destroy.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
New Products: Committee Records This series is comprised of documents including the New Products Committee's proceedings and decision regarding the purchase of products that are not covered by specifications, plans, or other Agency standards. It also documents the evaluation of pavement specific products for use by VDOT. It is used to approve or reject pavement related products. It is used to follow up on action items in the Committee's meeting minutes and as a reference to answer vendor inquiries about the status of their products.	002912	Retain permanently in VDOT.
New Products: Evaluations This series is comprised of documents that contain the evaluation of new products by the Agency that are not covered in specifications, plans, or other standards. Decisions for acceptance or rejection are based on the evaluation results. VDOT notifies vendors of the decisions made.	002913	Retain for three (3) years after the product is accepted or rejected, then destroy.
New Products: Special Products Evaluation List (SPEL) This series is comprised of both a normal electronic and web mounted reference guide listing the status of each product evaluated by the New Products Committee, i.e. accepted, rejected or pending. It is used as a ready reference to answer questions from vendors regarding the status of their products.	002914	Retain individual records until product is no longer acceptable or in use, then destroy.
Nuclear Gauge: Database This database maintained on the server documents the location of each nuclear moisture density gauge and the semi-annual radiation leak tests conducted on each gauge. It tracks and monitors gauge location and condition. It is retained as a reference to answer queries from the U.S. Nuclear Regulatory Commission (NRC) during an audit.	002915	Retain until the NRC terminates the license or disposal of gauge.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Nuclear Gauge: Safety Procedures This series documents the safety procedures for handling, transporting, and storing nuclear gauges when a gauge is taken to a VDOT temporary storage site. A physical inventory is conducted every six (6) months while the gauge is at the project site. The series is used to track and monitor each District Materials section's compliance with safety procedures to exposure to individuals.	002916	Retain until the NRC terminates the license, then destroy. 10CFR20.2103(b)
Nuclear Radiation Exposure Badge This series documents radiation exposure to VDOT employees who use testing equipment containing nuclear material. It is used to monitor exposure to employees and prevent them from being exposed to radiation in an amount that exceeds the limits recommended by the U.S. Nuclear Regulatory Commission (NRC). It is used to investigate a spike or sudden large amount of radiation exposure to an employee and as a reference during an NRC audit to ensure VDOT is monitoring its employees for radiation exposure. It may be used for litigation involving an employee.	002917	Retain for seventy five (75) years, then destroy by shredding or pulping. 10CFR20.2106(f)
Nuclear Gauge: Calibration Report This series documents the calibration of each density gauge. It is used to track and monitor calibrations to ensure that gauge test results are accurate.	002918	Retain until disposal of the gauge or until the United States Nuclear Regulatory Commission (US NRC) terminates the license, whichever is longer, and then destroy.
Nuclear Radiation Exposure Acceptance Statements This series documents an employee's notification and acceptance at the time of hire that they will be required to operate equipment that will expose them to radiation and documents an employee's training in the operation of the equipment. It is used to mitigate the Agency's liability in litigation involving the employee. (See RS#2917)	002919	Retain for seventy five (75) years until the badge issued the employee is destroyed, then destroy by pulping or shredding. 10CFR20.2106



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Nuclear Gauge: Leak Test Reports This series documents the semi-annual radiation leak tests conducted on each nuclear gauge. It tracks and monitors the condition of testing equipment containing nuclear material. It is retained to answer queries from the U.S. Nuclear Regulatory Commission (NRC) during an audit.	002920	Retain for three (3) years after gauge produced, then destroy. 10CFR34.67 10CFR30.53
Nuclear Gauge: Transfer Receipts This series documents the location of each nuclear gauge owned by VDOT. It tracks and monitors the location of testing equipment containing nuclear material. It is retained as a reference to answer queries from the U.S. Nuclear Regulatory Commission (NRC).	002921	Retain until the gauge is disposed.
Nuclear Gauge: Field Inspections This series documents inspections of the use and storage of each nuclear gauge location in the Residencies and Districts. Inspections are not required by the U.S. Nuclear Regulatory Commission (NRC) but are conducted to avoid penalties that may be imposed by the NRC following an audit. The inspection verifies that each gauge is being handled correctly by a licensed operator and the gauge is stored in a marked and secured location when it is not being used.	002922	Retain for three (3) years after inspection is made or until the source in storage is removed. 10CFR34.67(E)
New Products: Pavement Design This series documents the evaluation of pavement specific products for use by VDOT. It is used to approve or reject pavement related products.	002927	Retain permanently in VDOT.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Pavement: Evaluations/Investigations (Copies) This series is comprised of various documents containing information regarding a District or Residency evaluation and/or investigation of a problem with pavement and the Materials Division-Central Office pavement design section's report of its evaluation and recommendations about the problem. The original documentation is transferred to the individual district upon completion of the evaluation/investigation (RS#501-003-002471). The copy is used for reference purposes.	002930	Retain for as long as administratively useful or until original is destroyed, whichever is longer, and then destroy copy.
Soil Survey: Remediation This series documents soil surveys at locations requiring remediation, e.g. landslides, slippage, etc. It is forwarded to and used by District Maintenance Engineers to correct problems involving soil. It is also used as a reference to answer inquiries by the Materials Division-Central Office staff.	002934	Retain permanently in VDOT.
Soil Survey: Supplemental Reports This series documents soil surveys conducted on sites with unique characteristics, e.g. special slopes, soft areas, etc. that need stabilization or settlement prevention. It instructs the roadway designer to annotate the engineering drawings to indicate the required corrective action and provides a reference to answer inquiries by the Materials Division-Central Office staff.	002935	Retain permanently in VDOT.
Equipment: Surplus This series is comprised of an Access database and documents the include equipment designated for surplus on Form AS-53C and removal from the Division inventory. It is used as a reference to ensure that surplus equipment is not included in the annual Central Office equipment inventory.	002939	Retain for three (3) years after surplus documentation Form A-53C has been processed and then destroy.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Testing: Soil, Preliminary Engineering This series documents tests conducted on soil taken from state-wide road project areas prior to the start of the project's construction. It is retained as a reference for planning and implementing future road improvements.	002942	Retain permanently in VDOT.
Radiographic X-Ray File This series consists of X-rays taken of metal plate welding prior to installation on sign structures and bridges. It is used to identify defects in the metal welding. The X-rays are require by the American Association of State Highway and Transportation Officials (AASHTO). They are retained as a reference to verify the quality of metal welding at the time of installation of the metal.	002945	Retain for ten (10) years after x-rays taken, and then destroy.
Manuals: Material Testing Instructions Memorandum of Instruction (MOI This web based series documents policy and instruction for testing material samples relating to highway construction. It includes information about the amount of material or material sample that is required in order for a test to be accepted. It is used by construction inspectors to determine the type of inspection and samples required for testing each material. It is also used to determine the frequency and size of material samples to be collected and forwarded to laboratories for density tests.	002946	Retain until superseded or rescinded, then delete from server host.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Certification: Examination Questions and Study Guides This series is comprised of the questions, tests, completed tests, and study guides used to provide and test the knowledge of VDOT and non-VDOT students attending the certification schools and sitting for the certification examinations. Manuals and questions are reviewed periodically to ensure they are current. The examination questions and manuals are distributed to each district certification schools coordinator. Actual test scores are retained in the VDOT Virtual University System (VDOTU).	002948	Retain until superseded or obsolete, and then destroy.
Virginia Department of Transportation University (VDOTU) Site This series is a set of records contained in VDOTU. The records document student certification and status information including required re-certification dates. It is used to monitor and track each student's certifications and provides a reference tool to answer inquiries from students and employers regarding certification status.	002950	Retain permanently in VDOT.
Manuals: Virginia Test Methods This Web based series documents specific procedures approved by the Materials Division- Central Office for various tests of materials where the Agency deviates from national standard methods.	002951	Retain permanently in VDOT.
Geological Reports and Sheets This series is comprised of an electronic database that retains reports and accompanying information sheets created from the analysis of geological boring samples. The reports and sheets are used to determine what, if any, additional types of material are required to ensure adequate support for bridges and other structures.	004075	Retain permanently in VDOT.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
Non Destructive Testing (NDT) Request	000119	Retain permanently in VDOT.
This series is an access database storing district request for		
Non Destructive Testing of materials used by VDOT in various		